



## General NGO Guidelines for Overseas Assistance

Bureau of Population, Refugees, and Migration

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## 1. Introduction

The State Department's Bureau of Population, Refugees, and Migration (PRM; also referred to in these guidelines as the "Bureau") has primary responsibility within the U.S. government for formulating policies on population, refugees, and migration, and for administering U.S. refugee assistance and admissions programs. PRM's mission is to provide protection, ease suffering, and resolve the plight of persecuted and uprooted people around the world on behalf of the American people by providing life-sustaining assistance, working through multilateral systems to build global partnerships, promoting best practices in humanitarian response, and ensuring that humanitarian principles are thoroughly integrated into U.S. foreign and national security policy.

PRM's primary activities support the efforts of the key multilateral humanitarian organizations responsible for refugees, conflict victims, stateless persons, and vulnerable migrants. PRM funds non-governmental organization (NGO) programs that are coordinated with the multilateral system and fill critical gaps in humanitarian assistance and protection programs. PRM does not provide overseas assistance through for-profit organizations.

**NGO proposals in response to PRM funding opportunity announcements must be submitted via Grants.gov. PRM strongly recommends submitting proposals as early as possible to avoid being disqualified for missing the deadline due to technical difficulties.**

Organizations that have waited to submit proposals have often experienced technical difficulties causing them to miss deadlines; and, as a result, their proposals were not considered for funding. Grants.gov guidance notes that it can take 48 hours, and sometimes longer, for a proposal to be validated by the Grants.gov system; PRM therefore recommends submitting your proposal at least a week before the deadline listed in the funding announcement.

If you are new to PRM funding, the Grants.gov registration process can be complicated and time-consuming. We urge you to refer to "Application Process" in [Section 2](#) below for information and resources to help ensure that the application process runs smoothly. **PRM also strongly encourages**

**organizations that have received funding from PRM in the past to read this section as a refresher.**

Organizations should note that these guidelines only apply to PRM's NGO funding for overseas assistance activities. Guidelines for PRM's refugee resettlement activities are established through a separate process. Refer to PRM's [Refugee Admissions](#) website for details.

## **What's New?**

New and Improved NGO Guidelines. This year, we've restructured the PRM NGO Guidelines in a way that we hope is more user-friendly and easier to read. The content remains similar to previous years, but we've restructured the Guidelines to focus on the application and proposal process up front, and moved important information on [PRM Policies and Program Standards](#) and [Sectors and Standardized Indicators](#) into separate appendices that are easier to find for reference. We've also created a [checklist](#) of required application documents. As always, we are always looking for ways to improve, and we welcome any feedback at [PRMNGOCordinator@state.gov](mailto:PRMNGOCordinator@state.gov) to make this document more useful for our applicants.

Accountability to Affected Populations (AAP). PRM recently updated our policies and standards on AAP ([Appendix B](#)). PRM now requires applicants to include an organizational framework on accountability to affected populations prior to the award being issued. Finally, instead of quarterly, PRM partners are now only required to report on how beneficiary feedback was collected and incorporated into the project on a biannual basis during the second quarter and fourth quarter (final) quarterly reports([Section 4A](#)).

Risk Management. As part of efforts to improve risk mitigation ([Appendix B.7](#)), PRM now requires applicants to include a risk analysis and mitigation measures as a separate document in their program application package ([Appendix F](#)), as well as to summarize that risk analysis in the proposal narrative ([Section 3B](#)).

Standardized Indicators. PRM has expanded the categories for standardized indicators to include indicators for Mental Health/Psychosocial Support, Education, and Local Government Capacity-Building ([Appendix C](#)).

PRM Award Data Sheet and New Project Proposal Template. PRM is currently developing a new PDF project proposal template that will be released in FY 2017 and tested with select Notice of Funding Opportunities (NOFOs). In the meantime, as this new PDF form is developed, NGO partners that utilize the word document proposal template and are selected for an award will be asked to fill out and submit a PRM Award Data Sheet with information contained in the final project proposal, prior to finalizing the Cooperative Agreement ([Section 3A](#)).

## **2. Application Process**

**2.A. Overview of the Application Process:** Preparing to apply for PRM funding is a multi-step process that can take four weeks or more for U.S. NGOs and considerably longer for non-U.S. NGOs.

To begin the process of seeking PRM funding, applicants must:

- Obtain a Data Universal Numbering System (DUNS) number for their organization.
- Register with the U.S. government-wide System for Award Management ([www.SAM.gov](http://www.SAM.gov)).
- Create a username and password on Grants.gov and complete their AOR (Authorized Organization Representative) profile.
- Confirm, through the E-Business Point of Contact (E-Biz POC) at the organization, the applicant as an Authorized Organization Representative.

**Organizations considering applying for PRM funding should start the process as early as possible to avoid missing submission deadlines.**

**Organizations should not wait for Notice of Funding Opportunity announcements to be posted in order to start the registration process.**

PRM posts all funding opportunities on the website [www.Grants.gov](http://www.Grants.gov), [PRM's website](#), and all programs in the Catalog of Federal Domestic Assistance (CFDA). **All proposals in response to PRM funding opportunity announcements must be submitted via Grants.gov.**

PRM's CFDA numbers are:

- 19.018 – Resettlement Support Centers (RSCs) for U.S. Refugee Resettlement\*
- 19.510 – U.S. Reception and Placement Program\*
- 19.511 – Overseas Refugee Assistance Programs for East Asia
- 19.517 – Overseas Refugee Assistance Programs for Africa
- 19.518 – Overseas Refugee Assistance Programs for Western Hemisphere
- 19.519 – Overseas Refugee Assistance Programs for Near East and South Asia
- 19.520 – Overseas Refugee Assistance Programs for Europe
- 19.522 – Overseas Refugee Assistance Programs for Strategic Global Priorities

\*Organizations should note that these guidelines only apply to PRM’s NGO funding for overseas assistance activities. Guidelines for PRM’s refugee resettlement activities are established through a separate process. Refer to PRM’s [Refugee Admissions](#) website for details.

**2.B. Obtaining a DUNS number:** Organizations can obtain a free DUNS number from Dun and Bradstreet (D&B) anytime; you do not need a U.S. government grant. Organizations located in the U.S. can request a DUNS number free of charge by contacting [D&B online](#) or by telephone at 1-866-705-5711. Registration typically takes five to ten minutes by phone and up to 24 hours via the web-form.

Organizations located outside the U.S. can request a DUNS number free of charge by contacting [D&B online](#) or by telephone at the local D&B office. The list of international offices is available [here](#).

**2.C. Registering with SAM:** To successfully apply through Grants.gov, organizations must use their DUNS number to register with the [System for Award Management](#) (SAM) online or by telephone at 1-866-606-8220 (U.S.) or 1-334-206-7828 (international). Note that SAM registration must be updated annually. If registration is not completed by the time the application for PRM funding is submitted, the application will be rejected automatically by Grants.gov. **PRM strongly recommends that organizations complete the registration process as early in the fiscal year as possible in order to avoid potential delays when calls for proposals are issued.** Detailed instructions on how to complete this registration process can be found [here](#). When organizations register on SAM.gov, they will be asked to identify a single “E-Biz Point of Contact”

for the organization. This person has the responsibility to confirm which individuals have the authority to submit proposals on behalf of the organization.

In FY 2017, the Department of State will begin transitioning all awards from GrantSolutions to the State Award Management System (SAMS Domestic). As of the release of these guidelines, the Department has not yet transitioned to the SAMS Domestic system, but PRM has developed a communication strategy to alert partners on how to navigate the transition when SAMS Domestic comes online.

**2.D. Registering with Grants.gov:** Once organizations have obtained their DUNS number and completed their SAM registration, the individual who is submitting the application on behalf of the organization must register on the [Grants.gov website](#) and create a username and password to complete their AOR (Authorized Organization Representative) profile. Once the AOR has registered on Grants.gov, the E-Biz Point of Contact at the organization will receive an email and must log on to Grants.gov to confirm the applicant as an AOR. All applicants are encouraged to consult Grants.gov's online [Applicant Resources](#) page for frequently asked questions, user guides, and applicant training videos to familiarize themselves with the application process.

**2.E. Technical Support:** Applicants who experience technical difficulties with the Grants.gov system during the application process should report the problem to the Grants.gov Help Desk at 1-800-518-4726 or [support@grants.gov](mailto:support@grants.gov) as soon as possible and ideally at least one week prior to the deadline identified in the funding opportunity announcement. Grants.gov will assign a case number and open a service request to research the problem(s).

Applicants experiencing technical difficulties with the SAM registration process should contact the [Federal Service Desk](#) (FSD) online or at 1-866-606-8220 (U.S.) and 1-334-206-7828 (International).

**2.F. International multilateral organizations:** International multilateral organizations, such as United Nations agencies, should not submit proposals to PRM through Grants.gov. Multilateral organizations that are seeking funding for programs in response to a PRM-issued Notice of Funding



Opportunity (NOFO) announcement should contact the relevant PRM point of contact listed in the announcement on or before the closing date to make their interest known.

### **3. Proposal Submission and Review**

All Notice of Funding Opportunity (NOFO) announcements are listed on Grants.gov as well as on [PRM's website](#). To receive PRM NOFO announcements via email, visit the Bureau's website and subscribe to PRM's listserv.

PRM conducts formal internal competitive reviews of all proposal submissions based on the proposal evaluation criteria and PRM's priorities. PRM accepts unsolicited proposals at any time; however, due to limited funding, priority will be given to proposals responding to PRM-issued NOFOs.

Proposals must focus on one or more of the following sectors (see [Appendix C](#) for sector descriptions):

1. Protection
2. Child protection
3. Gender-based violence prevention and response
4. Health
5. Mental Health and Psychosocial Support (MHPSS)
6. Water, sanitation, and hygiene (WASH)
7. Nutrition and Food Security
8. Education
9. Livelihoods
10. Emergency shelter

**3.A. Proposal Format and Templates:** PRM recommends that applicants use the suggested templates available from [PRM's NGO Coordinator](#):

- The proposal narrative for single year projects and follow-on years of multi-year projects,
- the proposal narrative for year one of multi-year projects,
- the budget summary and budget narrative for all projects.



To request copies of all PRM-recommended templates, send an email with only the phrase “PRM NGO Templates” (without the quotation marks) in the subject line, to [PRMNGOCoordinator@state.gov](mailto:PRMNGOCoordinator@state.gov). You will receive an automated email reply containing the templates mentioned above (proposal templates, budget summary, and budget detail templates) as well as the quarterly program report template discussed later in these guidelines.

If an NGO is using PRM’s templates, proposals must not be more than 15 pages in length for single-year applications, and 20 pages for multi-year funding proposals. A new PDF proposal template is being developed in FY 2017, and NGOs applying for a NOFO utilizing the PDF proposal template do not have to worry about page limitations, as the PDF form will have set character limits for each field.

If an NGO is not using PRM’s templates, then proposals must not be more than 10 pages in length (15 pages for multi-year proposals).

All proposals should use Times New Roman 12-point font, with one inch margins on all sides. Organizations may choose to attach charts, work plans, activity calendars, and/or logical frameworks as addendums or appendices to the proposal. These attachments do not count toward the page limit total; however, annexes cannot be relied upon as a key source of program information. The proposal narrative must be able to stand on its own in the application process. Additionally, upon final selection for an award, PRM will ask NGO partners to fill out a PDF form “PRM Award Data Sheet” with relevant data drawn from the project proposal, including organization information, contact information, budgets, and objectives and indicators.

**When submitting documents on Grants.gov, please pay close attention to the file naming conventions. If these guidelines are not followed, your application may be rejected:**

- File attachment names longer than approximately 50 characters are problematic. Limit file attachment names.
- Do not use any special characters (example: &, &#39;, \*, %, /, #, .) or spacing followed by a dash in the file (example: Application – 1).
- For word separation, use underscore (example: Attached\_File.pdf) in naming the attachments.

**3.B. Instructions for Completing the PRM Proposal Template:** Use the following guidelines to address each section of the proposal. If NGOs choose not to use the PRM templates, proposals must still include the sections outlined below.

- **Section 1: Summary of Project:** Complete the table on the first page of the template with the name of the organization, the DUNS number, name of project, type and number of beneficiaries, proposed start and end date, whether or not your organization is currently receiving PRM or UNHCR funding in country, and the project goal.
- **Section 2: Problem Statement:** This section should provide the rationale and justification for the proposal and should include an analysis of the problems the project intends to address, and a profile of the intended population, as described in 2A and 2B below:
  - **2.A. Analysis:** With respect to the specific location, activities, needs, and target beneficiaries of the proposed project, describe the current or anticipated elements of the humanitarian situation that this project seeks to address. Explain how this proposal fills a gap in current assistance efforts, including those being undertaken by the host country, the UN High Commissioner for Refugees (UNHCR), other international organizations, and/or NGOs. Provide specific evidence based on assessments that have been conducted and other relevant background information collected to identify the needs of the target population. Indicate dates, sources of information, and describe the most critical needs, vulnerabilities, or capacities that were identified. If an organization's own needs assessment is being used as a justification for funding, the assessment should be included as an annex to the proposal. Market assessments for livelihoods activities should be briefly described in this section and attached in full to the proposal.
  - **2.B. Profile of the Target Population:** Describe the process of beneficiary selection for this program including how the program will target direct beneficiaries; how refugees, returnees, host community members will be identified; and what actions you would take to ensure that potentially vulnerable and underserved groups are

included. Demonstrate that refugees, returnees, and/or other persons of concern as described in the relevant NOFO will constitute at least 50% of the beneficiary population. Using the most recent data available and citing sources, provide the anticipated demographic profile of the beneficiaries including the numbers of refugees, IDPs, returnees, host country nationals, etc., as well as locations, gender, age, and any other unique factors. List the specific locations – including the names of camps, provinces, districts, villages, neighborhoods, temporary accommodation centers, etc. – of proposed activities. Provide GPS coordinates, where available. If the locations are not yet known, explain how the sites would be chosen.

- **Section 3: Program Description:** This section should clearly and concisely outline the (1) implementation plan, (2) key activities, and any (3) implementing partners. Other requirements include:
  - A. An explanation of the link between the problem statement, activities, and outcomes expected.
  - B. Identification of any goods or services to be provided.
  - C. If the standards differ from [Sphere's Core Humanitarian Standards](#), a justification for the variance.
  - D. In the case of multi-year funding applications, an explanation for why multi-year funding is necessary for the program to succeed, and how the proposed activities in year one will contribute to outcomes and impacts in years two and three, as applicable.
- **3.A. Program Description, Gender Analysis:** A gender analysis must be included in all applications for funding within the proposal narrative. The gender analysis ensures that partners are appropriately analyzing the factors that either promote or undermine gender equality in a given context. All proposals should address the specific needs of women and girls, as the main population that experiences gender oppression and discrimination. Proposals should also address the following areas to show that PRM partners have assessed, analyzed, and integrated gender dynamics within their program:

- (1) Experiences of men, women, boys, and girls with a focus on the different familial roles, community privileges, and gender dynamics within the target population;
- (2) associated risks and threats experienced by women, girls, and other vulnerable populations based on their gender;
- (3) power imbalances and needs that arise based on gender inequalities that exist within the family or community;
- (4) proposed responses that will address the above and mitigate any gender differences in access, participation, or decision-making that may be experienced by at-risk groups, particularly women and girls.

The gender analysis should aim to specify and target specific at-risk sub-populations of women and girls, in particular women and girl heads of households, out-of-school girls, people who identify as lesbian, gay, bisexual, transgender, or intersex (LGBTI), women and girls with disabilities, women and girl survivor of violence, married girls, and adolescent mothers who are often unaware of and excluded from programs and services and who may be the hardest to reach.

For additional guidance on filling out the gender analysis, please visit the [PRM website](#).

- **Section 4: Objectives and Indicators:** Proposals in the sectors listed in [Appendix C](#) must include all objectives and indicators that are relevant to their programs. Please refer to [Appendix C](#) for more information on sectors and relevant standardized indicators.

The following guidelines apply to any additional objectives and indicators to be included in proposals. The types and the number of indicators will vary depending on the project design. Note that an indicator must be measurable and should be identified as an input, output, outcome, or impact indicator.

**Each objective must have at least one outcome or impact indicator that can be measured in a 12-month timeframe. PRM requires a minimum of one objective with at least two indicators per objective, although you may include more indicators depending on the type of project.** Multi-year projects must include objectives and indicators for

each year. The following definitions are taken from the Office of U.S. Foreign Assistance Resources and the Bureau of Budget and Planning *Program Design and Performance Management Toolkit*.

- **Objective:** A statement of the condition or state one expects to achieve toward accomplishing a program, project or process goal.
- **Indicator:** A particular characteristic or dimension used to measure intended changes. Performance indicators are used to observe progress and to measure actual results compared to expected results.
- **Input:** Resources provided for program implementation. Examples are money, staff, time, facilities, equipment, etc.

*Example of Input Indicator: Number of students, disaggregated by gender, to be reached in selected schools through hygiene education sessions (Target: 2,000 students).*

- **Output:** A short-term, immediate result of a program, project, process that lead to longer-term outcomes. Outputs are products, goods, and services that result from activities. Output indicators do not measure change; they answer the question, “What is the immediate product of the activity?”

*Example of Output Indicator: Number of students, disaggregated by gender, who complete 3 hours of hygiene education (Target: 2,000 students).*

- **Outcome:** A result or effect that is caused by or attributable to the project, program or policy of the program activities. Outcomes may be short-term or long-term, intended or unintended, positive or negative, direct or indirect. An outcome indicator focuses on change and is a measure of the extent to which a program objective is being achieved.

*Example of Outcome Indicator: Percentage of children, disaggregated by gender, who demonstrate a 50% or higher*

*knowledge gain on proper hygiene methods, as demonstrated in pre- and post-test scores (Target: 75%).*

- **Impact:** A result or effect that is caused by or attributable to a program, project, process or policy. Impact is often used to refer to higher level effects of a program that occur in the medium or long-term, and can be intended or unintended and positive or negative.

*Example of Impact Indicator: Decrease in reported cases of diarrhea among student population (Target 10% decrease).*

Selection of indicators should be informed by data gathered in baseline surveys by the NGO, or another international organization or NGO operating in the area. For those projects without baseline data available at the time of proposal submission, NGOs are required to obtain baseline data within the first month of project period if the project is approved for funding by PRM.

For each indicator, identify both the targeted population (e.g. entire camp or refugee population vs. a sub-set of the population such as women or adolescents) and the population totals. Clear identification of the population and its size is necessary to establish data collection techniques and to calculate percentages and measure change over time for indicators that include percentages.

- Example Indicator: Percent increase in new mothers who breastfeed
  - Target population – new mothers (approximately 500/month)
  - Baseline – 100 new mothers breastfeed on average currently
  - Target – 30 new mothers breastfeed (30% of 100, so 130 new mothers breastfeed in total)

**Objectives and indicators will be formally written into the cooperative agreement for proposals that are selected for PRM**

**funding and will be used by PRM to monitor and evaluate the project.**

Accordingly, proposed objectives and indicators should be representative of program performance. Quarterly reports submitted to PRM must track progress against each of the indicators in the cooperative agreement. Consultations with PRM may be necessary in order to arrive at a final set of agreed upon objectives and indicators.

- **Section 5: Monitoring and Evaluation Plan:** Describe the monitoring and evaluation plan, including staff responsible for monitoring and evaluation. This section must include, at a minimum, the following elements:
  - A timeline to track the program's progress;
  - frequency of the measurements;
  - which monitoring and evaluation tools will be used (rapid assessment surveys, site visits, key stakeholder interviews, focus group discussions, interview logs, timelines, progress reports, etc.);
  - how problems identified during monitoring will be addressed;
  - plans to include collection, analysis, and use of beneficiary feedback.
- **Section 6: Accountability to Affected Populations:** Specifically for the proposed project, describe (1) how the target population is involved in program design and implementation, and (2) the organization's procedures for collecting and responding to beneficiary feedback throughout the life of the project. See [Appendix B.3](#) for information on PRM's policies. Additional information on best practices for accountability to affected populations (AAP) is found at the IASC's [AAP resource page](#).

This section in the proposal narrative is specific to the project being proposed and should be distinct from the organization-level AAP framework, which is a separate requirement.

- **Section 7: Coordination:** Describe the level of cooperation and coordination with relevant stakeholders that went into the project design, plans for partnerships, and plans to continue coordination. Applicants



should include regional (and/or cross-border) coordination as applicable. For programs targeting refugees or other populations for which international assistance is being coordinated by UNHCR or another UN agency, NGOs may provide a letter of support from UNHCR specific to the proposal.

- **Section 8: Transition and Capacity-Building:** Explain how the project will include local capacity-building elements, incorporate longer-term sustainability objectives into humanitarian programs, increase work towards durable solutions, be handed over to another organization, or be financed by other means after PRM funding ends. If transition is not feasible, applicants should explain why.
- **Section 9: Management and Past Performance:** Applicants must provide details on the organization's management structure, including specific management plans for the proposed project.

Applicants should furnish **names, titles, and brief biographical sketches** including information on the education and experience of key personnel in charge of the award project and other key professional and supervisory personnel; (i.e., the members of the professional staff in a program supervisory position engaged for or assigned to duties under the award). Resumes of key personnel should be provided in an annex (or provided for approval prior to hiring).

Proposals that seek to **continue current projects** in the given location must include details regarding any changes in key personnel over the past year, a detailed discussion of what has been achieved with that programming to date and challenges in meeting objectives.

Proposals seeking to **implement new programs** should provide specific examples of past performance in similar programs in this sector and/or country. State explicitly any similar program the organization has implemented in the last three years for which it has received PRM funding, in any country/location. Organizations are encouraged to include an overview assessment of their programs funded by PRM in prior years and should attach their most recent quarterly report as an annex to their application.

- **Section 10: Security and Risk Management:** Briefly summarize the risk analysis ([Appendix F](#)) submitted as part of the proposal package. Describe the security environment in the area of operation, how the organization locally manages risk to its international and national staff (including how it communicates and coordinates with other organizations about safety and security), and how the organization would respond to a deterioration of the security situation or a significant security incident. Include risk mitigation and security requirements in the budget as appropriate.
- **Section 11: Sub-Contracts/Sub-Recipients:** List the full and exact name of any sub-contractors or sub-recipients the organization plans to fund through the proposed project, if known. Identify sub-grantees including, for each, the Legal Name, Organizational DUNS, Address, and Name of Organizational Representative. Describe how these organizations are vetted to comply with U.S. Executive Orders and law, which prohibits transactions with and the provision of support to organizations associated with terrorism.
- **Section 12: U.S. Government Recognition:** Describe how the organization will recognize the U.S. government's financial support, provided through PRM, for the proposed project/activities (e.g., in publications, press releases, etc., and at the project site).

If your organization believes that publicly acknowledging U.S. government financial support at the project site could potentially endanger the lives of the beneficiaries and/or the organization's staff, invite suspicion about the organization's motives, or alienate the organization from the population it is trying to help, provide a brief explanation and request an exemption from the project site acknowledgement requirement. See [Section 3.F.](#) for more details.

**3.C. Standardized Indicators:** In an effort to streamline the proposal writing/reviewing process and better measure the impact of the Bureau's work, PRM requires the use of standardized indicators. **Applicants must fill in numerical and/or percentage targets for each indicator.**

[“Sphere” standards](#) should be used as targets, unless otherwise noted. For each sector, proposals must include all standardized indicators that apply to

the program. Please see [Appendix C](#) for a list of Sectors and descriptions of relevant Standardized Indicators.

**3.D. Cost Proposal (Budget):** PRM’s recommended budget template for all proposals delineates expenses by project objective and by country, in the case of multi-country projects. PRM has developed instructions for completing the [Budget Detail](#) and the [Budget Narrative](#).

To request the Budget Summary template and instructions, send an email with only the phrase “PRM NGO Templates” (without the quotation marks) in the subject line, to [PRMNGOCordinator@state.gov](mailto:PRMNGOCordinator@state.gov).

(a) The Cost Proposal should include the following items (described in more detail below):

- 1) Application for Federal Assistance – the SF 424 form that is included in the Grants.gov application package;
  - 2) Budget Summary;
  - 3) Budget Detail;
  - 4) Budget Narrative;
  - 5) Organizational chart for award recipient and sub-recipient(s), if applicable;
  - 6) Negotiated Indirect Cost Rate Agreement (NICRA), if applicable; and
  - 7) Most recent external audit report, if not submitted to the Federal Audit Clearinghouse
- **Budget Summary** – The Budget Summary should indicate the anticipated aggregate dollar amount for the major object class categories, to include, personnel, fringe benefits, travel, equipment, supplies, contractual, construction, other direct costs, and indirect charges. Please round each line-item cost to the nearest dollar. **The Budget Summary must also break out the overall budget by objective, which must be clearly linked to the sectors in the proposal. Please note breaking out the budget by project objective does not eliminate the requirement to reflect the aggregate dollar amount for each major object class category.**
  - **Budget Detail** – The [Budget Detail](#) should include descriptive line-items that support each cost listed within each object class category. Please

round each line-item cost to the nearest dollar. Please ensure that costs are reflected under the most appropriate major object class category. The “Other Direct Costs” category should only be utilized for costs that don’t fall under one of the major object class categories.

- **Budget Narrative** – The [Budget Narrative](#) should include sufficient detail to enable the reviewer to obtain the same reasonable determination of cost. For example, the description for the line item for “Training Materials” within the object class category “Supplies” could read, “includes the cost of expendable supplies, such as, paper, notebooks, folders, pens, and pencils with an estimated cost of \$5 per participant. \$5 X 1,000 participants = \$5,000.” **The budget narrative should provide justification for equipment and capital purchases exceeding \$1,000, including describing the status of or listing the existing inventory that is being augmented and/or replaced.**
- **Organizational Chart** – The Organizational Chart should enable PRM to evaluate the organizational structure and determine the allocation of personnel costs for single and across multiple federal assistance awards. For example, if one full-time Regional Program Coordinator has responsibility that is divided equally for each of ten (10) federally-funded projects, the salary for this position should be allocated across all awards in such a manner as to equal 100% of the time available for this position. This salary should not be more than 10% on each award. The cost of staffing needs associated with each proposal should only reflect the staffing required to carry out the required activities. Since PRM awards do not fund contingencies, budgets should avoid using the category of “back-stopping.”
- **NICRA** – Recipients of PRM assistance awards may be reimbursed for applicable indirect costs in accordance with their Negotiated Indirect Cost Rate Agreement (NICRA) established by the Recipient’s “cognizant” agency if applicable. The cognizant agency for non-profit organizations is determined by calculating which federal agency provides the most grant funding. If the Recipient has executed an indirect cost rate agreement with a cognizant agency other than the Department of State, PRM will use that negotiated agreement as the basis for determining indirect cost reimbursement.

**In cases where no cognizant agency has been designated or the organization does not have an established negotiated indirect cost rate agreement with any federal agency, applicants may elect to charge a *de minimis* rate of 10% of modified total direct costs (MTDC) which may be used indefinitely** (2 CFR 200, Subpart E, Section 414 Indirect (F&A) Costs). MTDC means all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first \$25,000 of each subaward (regardless of the period of performance of the subawards under the award).

MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward in excess of \$25,000. Other items may only be excluded when necessary to avoid a serious inequity in the distribution of indirect costs, and with the approval of the cognizant agency for indirect costs. PRM will refer award recipients without NICRAs to the Department of State office responsible for negotiation and approval of an indirect cost rate which would be applicable to future awards.

(b) The Cost Proposal should also include the following items, as appropriate:

- Multi-year funding – Multi-year funding requests must include a budget summary, detail and narrative for each year separately. If the PRM budget template is used, organizations can use the same template for each year, on the understanding that the budget for years two and three may need to be revised when the follow-on year's application is submitted. PRM cannot guarantee funding for follow-on years and awards for years two and three remain contingent upon continuing need, performance, and availability of funding [See Funding Timeframes and Multi-Year Funding section below for details].
- GBV Components – Applicants whose proposals address gender-based violence (GBV) through their projects must estimate the total cost of these activities as a separate line item in their proposed budgets. PRM understands that this is only an estimate. PRM's budget template document contains a line reflecting this requirement

- Recipient's Share of Cost – The Cost Proposal should also include the Recipient's Share of Cost in addition to the dollar amount requested from PRM. The Budget Summary and Budget Detail should include the dollar amount(s) anticipated or received from other sources (including the organization's own funds and support from other donors) and the dollar amount of any in-kind contributions. Be sure to indicate the funding source for each line-item to include (1) the contribution to be made by the applicant; (2) the contribution to be made by other agencies or organizations (specifying each donor and amount); and (3) the amount of cash and in-kind contributions to be made from all other sources (specifying each donor and amount). Applicants should note that cost-sharing is not a requirement for PRM programs. However, the Recipient will be held to voluntary cost-sharing included in the budget.
- Identify Sub-grantees – If applicable, the Budget Summary, Budget Detail, and Budget Narrative should specifically identify sub-grantees including, for each, the Legal Name, Organizational DUNS, Address, and Name of Organizational Representative. The Cost Proposal guidance provided above is recommended for use by sub-recipient(s) when preparing their budget documents. If the sub-recipient's budget is a separate document, the associated expenses should be clearly identified in the prime budget if not listed under the contractual object class category.

**3.E. PRM Administrative Requirements:** To be considered eligible for PRM funding, at minimum, all submissions must include the following (organizations should refer to the relevant Notice of Funding Opportunity announcement for further information on additional requirements for that announcement):

- Completed proposal narrative and budget.
- Completed SF-424 form. PRM requires that Box 21 of the SF 424 be checked. Please note that pursuant to U.S. Code, Title 218, Section 1001, stated on OMB Standard Form 424 (SF-424), the Department of State is authorized to consolidate the certifications and assurances required by Federal law or regulations for its federal assistance programs. The list of certifications and assurances can be found [here](#).

- Copy of the organization's U.S. government Negotiated Indirect Cost Rate Agreement (NICRA), or a *de minimis* rate calculation if the applicant elects to use the *de minimis* rate, if applicable ([Section 3.D](#));
- Most recent external audit report, if not submitted to the Federal Audit Clearinghouse.
- Information in support of any cost-sharing/cost-matching arrangements, if applicable.
- Information detailing the source of any in-kind contributions, if applicable.
- Details on any sub-agreements associated with the program (should be part of the budget submission as noted above, if applicable).
- The organization's security plan ([Appendix B.8](#)).
- Risk Analysis ([Appendix F](#)).

Please integrate this documentation into as few files as possible and pay careful attention to Grants.gov's guidance for file naming conventions [See Proposal Format and Templates section above].

NGOs that have never received PRM funding must be prepared to demonstrate that they meet the financial and accounting requirements of the U.S. government by providing copies of the following with their funding application:

- The most recent external financial audit , if not submitted to the Federal Audit Clearinghouse;
- Proof of non-profit tax status;
- Data Universal Numbering System (DUNS) Number; and
- Employer ID number (EIN)/Federal Tax Identification Number (if a U.S. organization).

**3.F. Acknowledgement of U.S. Government Funding:** Organizations receiving overseas assistance from the Bureau are required to acknowledge publicly the projects and activities funded with that assistance. As a condition of receipt of an assistance award, all materials produced pursuant to the award, including training materials, materials for recipients or materials to communicate or promote with foreign audiences a program, event, project, or some other activity under this agreement, including but not limited to invitations to events, press materials, event backdrops, podium signs, etc. must be marked appropriately with the standard, rectangular U.S.



flag in a size and prominence equal to (or greater than) any other logo or identity.

The U.S. flag logo may be used in conjunction with, or in place of, the Department of State seal, the U.S. Embassy seal, or other Department program logos.

Subrecipients and subsequent tier sub-award agreements are subject to the marking requirements and the recipient shall include a provision in the subrecipient agreement indicating that the standard, rectangular U.S. flag is a requirement. In the event the recipient does not comply with the marking requirements as established in the approved assistance agreement, the Grants Officer Representative and the Grants Officer must initiate corrective action.

At the project site, acknowledgement should be in the form of a graphic of the U.S. flag accompanied by one of the following two phrases based on the level of PRM funding:

- 1) Fully funded with PRM contribution: “Gift of the United States Government”
- 2) Partially funded with PRM contribution: “Funding provided by the United States Government.”

**Note to Grantees and Subgrantees:** The Bureau of Population, Refugees, and Migration does not have, nor is it permitted to have or display, a separate logo or brand. The United States flag is our recognized brand, as described and outlined above.

Updates of action taken related to fulfilling this requirement must be included in quarterly program reports to PRM.

An organization may request a full or partial exemption from this requirement if it believes that public acknowledgment of USG funding might endanger the lives of the beneficiaries and/or the organization’s staff, invite suspicion about the organization’s motives, or alienate the organization from the beneficiary population. To request PRM consideration of an exemption to this requirement, the organization must provide an explanation of the relevant factors in its initial proposal for PRM funding.

For an electronic copy of the approved U.S. flag logo, please contact PRM's NGO Coordinator at [PRMNGOCoordinator@state.gov](mailto:PRMNGOCoordinator@state.gov).

**3.G. Funding Timeframes and Multi-Year Funding:** PRM will define the timeframe and duration of activities in each unique Notice of Funding Opportunity announcement. Most PRM awards to NGOs are for 12-month periods, however PRM has the option of issuing NOFOs offering provisional approval for 24 or 36 month periods. Each unique NOFO issued by PRM will clearly specify whether the Bureau will make use of this option.

**Multi-Year Funding:** When submitting the initial application, NGOs proposing multi-year projects must submit fully developed programs with detailed budgets, objectives, and indicators for each year of activities. These can be updated yearly. Applicants should use PRM's recommended multi-year proposal template for the initial multi-year application and PRM's single year template for updating years two and three of approved multi-year awards. Multi-year funding applicants should use PRM's standard budget template for all years of the project and should submit a separate budget sheet for each proposed project year.

Multi-year applications selected for funding by PRM will be funded in 12-month increments based on the proposal submitted in the initial application as approved by PRM. Each 12-month period of a multi-year award will have a separate cooperative agreement. Continued funding after the initial 12-month award requires the submission of an updated single-year proposal and budget summary and detail that covers the coming year. Awards in years two and three will be contingent upon available funding, strong performance, and continuing need. PRM cannot guarantee funding for follow-on years.

Year two and three proposals must be submitted by the organization no later than 90 days before the proposed start date of the new cooperative agreement (e.g., if the next project period is to begin on September 1, submit your application by June 1). Late applications will jeopardize continued funding.

In years two and three, the NGO does not need to submit an application in response to PRM's publicly issued annual NOFO announcements for that region. Only the year two or three proposal (using the single-year proposal template), the revised budget summary, detail, and narrative, and the signed SF-424 form need to be submitted. Indicators for multi-year proposals should include year-by-year break-downs of targets, but should also include cumulative totals.

Applicants should understand that receipt of prior funding for the same or similar projects in a given location is not a pre-condition for and does not guarantee continued PRM funding. PRM retains the right to re-compete projects at any point in time.

## **4. Reporting Requirements**

**4.A. Program Reports:** PRM requires program reports describing and analyzing the results of activities undertaken during the validity period of the agreement. A program report is required within thirty (30) days following the end of each three month period of performance during the validity period of the agreement. The final program report is due ninety (90) days following the end of the agreement. The submission dates for program reports will be written into the cooperative agreement. Partners receiving multi-year awards should follow this same reporting schedule and should still submit a final program report at the end of each year that summarizes the NGO's performance during the previous year.

The Performance Progress Report (SF-PPR) is a standard, government-wide performance reporting format available [here](#). Recipients of PRM funding must submit the signed SF-PPR cover page with each program report. In addition, the Bureau suggests that NGOs receiving PRM funding use the PRM recommended program report template and reference this template as being attached in block 10 of the SF-PPR. This template is designed to ease the reporting requirements while ensuring that all required elements are addressed. The Program Report Template can be requested by sending an email with only the phrase "PRM NGO Templates" (without the quotation marks) in the subject line, to [PRMNGOCoordinator@state.gov](mailto:PRMNGOCoordinator@state.gov).

The following guidance is designed to accompany the recommended reporting template. It is not necessary to repeat information from one quarter to the next if content has not changed.

- **Cover Page** – Complete the chart on the first page.
- **Progress on Objectives and Indicators** – Include the objectives and indicators from the cooperative agreement and describe progress on each indicator target during the reporting period as well as cumulative progress to date. Use the table provided in the template.
- **Analysis of Progress** – For any target that the project is not on track to meet, analyze why and indicate the steps being taken to meet the target. Explain how beneficiary feedback has been used to continue or change programming decisions. Give examples.
- **Collaboration/Coordination** – Describe, in specific terms, efforts to coordinate the project’s activities with projects and services provided by the national or local government, other NGOs, UNHCR, other international organizations, and other bilateral donors. Describe significant gaps in assistance to the beneficiary population.
- **Challenges** – Describe any security, financial, and/or personnel management issues during the reporting period that could impact the program achieving its goals. Describe the impact that these challenges have had on the project and how the organization has responded to these issues.
- **New Developments** – Are there any issues or developments in the project design and/or areas of operation during the reporting period that the organization did not initially anticipate? If so, describe the impact that these have had on project implementation and how the organization has responded.
- **Other** – Provide any additional information about the project, current trends, or other related issues that are important to note. This section might also include success stories that the organization would like to highlight to PRM.

- **Acknowledgement of PRM funding** – Complete the section on PRM funding. For acknowledgement plans that were outlined in the proposal but which have not occurred or are not being met, provide an explanation and indicate the steps being taken to comply with this contractual obligation.
- **Accountability to Affected Populations (only required in Q2 and Q4/Final Report)** – Explain how the beneficiary population has been involved in program implementation during the reporting period. How has their feedback been collected and incorporated into performance monitoring? What changes have you made to the project as a result of beneficiary feedback? How have you communicated back to the beneficiaries the impact of their feedback?

**4.B. Financial Reports:** Financial reports are required within thirty (30) days following the end of each calendar year quarter during the validity period of the agreement (January 30<sup>th</sup>, April 30<sup>th</sup>, July 30<sup>th</sup>, October 30<sup>th</sup>). The final financial report covering the entire period of the agreement is required within ninety (90) days after the expiration date of the agreement. For agreements containing indirect costs, final financial reports are due within sixty (60) days of the finalization of the applicable negotiated indirect cost rate agreement (NICRA).

Reports reflecting expenditures for the Recipient's overseas and United States offices should be completed in accordance with the Federal Financial Report (FFR SF-425) and submitted electronically in the Department of Health and Human Services' Payment Management System (HHS/PMS) and in accordance with other award specific requirements. Detailed information pertaining to the Federal Financial Report including due dates, instruction manuals and access forms, is provided on the [HHS/PMS website](#).

#### **4.C. Other Reporting Requirements**

- **Security:** All security incidents or threats involving NGO staff should be promptly reported to the UN Department of Safety and Security (UNDSS), the UN Office for the Coordination of Humanitarian Affairs (OCHA), the relevant U.S. Embassy, and the relevant PRM Regional Refugee Coordinator.

- **Health:** PRM-supported health partners must report data to UNHCR's Health Information System, if functional in-country. Crude Mortality Rates (CMR) and Global Acute Malnutrition (GAM) survey data should be shared with the UNHCR Public Health and HIV Section and the [Complex Emergency Database](#) at the Centre for Research on the Epidemiology of Disasters.

## 5. Contacting PRM

Recipients of PRM funding must submit all required reports to the relevant PRM Program Officer and Grants Officer assigned to the award and on-line through the GrantSolutions.gov system, or as stated within the cooperative agreement.

Electronic mail transmissions must include the following information: Organization Name, Agreement Number, Report Type, and Reporting Period.

Applicants may address general questions about PRM's overseas assistance to NGOs, and provide feedback to PRM on its proposal, budget, and report templates, to PRM's NGO Coordinator:

NGO Coordinator  
Bureau of Population, Refugees, and Migration  
U.S. Department of State  
2025 E ST, NW  
8th floor  
Washington, DC 20522-0908

Phone: (202) 453-9392  
Fax: (202) 453-9394  
Email: [PRMNGOCordinator@state.gov](mailto:PRMNGOCordinator@state.gov)

## **APPENDIX A**

### **NGO PROJECT PROPOSAL CHECKLIST**

To be considered for PRM funding, organizations must submit a complete application package including:

- ☐ Proposal narrative reflecting objectives and indicators for each year of the program period.
- ☐ Budget and budget narrative for each year of the program period.
- ☐ Signed completed SF-424.
- ☐ Risk Analysis.
- ☐ A market analysis and a beneficiary competency/capacity assessment (for organizations applying for livelihoods project funding), if applicable.
- ☐ Letter of support from UNHCR or other international organization leading sector efforts in the country specific to the proposal, if applicable.
- ☐ Most recent Negotiated Indirect Cost Rate Agreement (NICRA), if applicable or *de minimis* rate calculation if applicant elects to use the *de minimis* rate.
- ☐ Most recent external audit, if not submitted to the Federal Audit Clearinghouse.
- ☐ Organizational Chart for award recipient and sub-recipient(s), if applicable.
- ☐ NGOs that have not received PRM funding since the U.S. government fiscal year ending September 30, 2004 must be prepared to demonstrate that they meet the financial and accounting requirements of the U.S. government by submitting copies of :
  - the most recent external financial audit , if not submitted to the Federal Audit Clearinghouse,



- proof of non-profit tax status including under IRS 501 (c)(3), as applicable,
  - a Data Universal Numbering System (DUNS) number, and
  - an Employer ID (EIN)/Federal Tax Identification number, as applicable.
- ☐ Organizations that received PRM funding in FY 2016 for activities that are being proposed for funding must include the most recent quarterly progress report against indicators outlined in the cooperative agreement.

Prior to finalizing the cooperative agreement, organizations must submit the following items upon final negotiation of the proposal:

- ☐ Copy of the organization's framework on Accountability to Affected Populations.
- ☐ Copy of the organization's Code of Conduct.
- ☐ Copy of the organization's Security Plan.
- ☐ PRM Award Data Sheet (if applicable).

## **APPENDIX B**

### **PRM POLICIES AND STANDARDS**

This appendix outlines the principles and standards that partners will be expected to meet regardless of sector as well as cross-cutting guidance that applies to multiple sectors. Please use this section as a reference and guidance for how to draft your project proposal and other required application materials.

**A.B.1. Minimum Humanitarian Standards:** NGO proposals should use the [Sphere Minimum Standards in Disaster Response](#) and relevant companion guides as the basis for design, implementation, monitoring, and evaluation in emergency settings, including proposed objectives and indicators. When relevant standards are not able to be met, an explanation should be provided as to why this is the case. Additional sector-specific standards, guidelines, and best practices are addressed in [Appendix C](#).

Urban Refugees: For programs in non-camp settings, PRM requires partners to adhere to the Bureau's [Principles for Refugee Protection in Urban Areas](#).

Protection: PRM defines protection as: “Measures to safeguard the rights of PRM populations of concern by seeking to prevent or end patterns of violence or abuse; alleviate the trauma and related effects of violence or abuse; identify and promote durable solutions; foster respect for refugee, humanitarian, and human rights law; and ensure that humanitarian actions uphold dignity, benefit the most vulnerable, and do not harm affected populations.” Refer to Sphere's Protection Principles [here](#). For guidance on programs specifically designed to prevent and respond to protection concerns, see [Appendix C.1](#) on Sectors, Protection.

Gender-based Violence: PRM believes that gender-based violence (GBV) is a key barrier to addressing gender equality in humanitarian settings. We encourage partners to submit proposals that are targeted or multi-sectoral, and fund both types of approaches. All programs should be informed by the specific context, situation, and operating environment of the target population. Partners must utilize [the Inter-Agency Standing Committee \(IASC\) Guidelines on Gender-based Violence \(GBV\) Interventions in Humanitarian Settings](#) to inform their GBV work, in particular risk reduction or mitigation activities. PRM encourages partners to target and provide

services to those most at-risk, including women and girls as well as consider addressing the intersection of multiple vulnerabilities when designing their programs. For additional guidance on program interventions specifically designed to address GBV, see [Appendix C.2](#).

**A.B.2. Vulnerable and Underserved Persons of Concern:** PRM will only consider funding NGO projects that include a target beneficiary base of at least 50% refugees, returnees, and/or other persons of concern as described in the relevant Notice of Funding Opportunity. PRM prioritizes the needs of vulnerable and underserved segments of these populations and strongly encourages proposals that can demonstrate steps to ensure that within the target population, programs also reach the following potentially vulnerable and underserved groups: women; children; adolescents; lesbian, gay, bisexual, transgender, or intersex (LGBTI) individuals; older persons; the sick; persons with disabilities; and other minorities. PRM strongly promotes women's equal access to resources and their participation in managing those resources. Applicants to PRM funding must submit a Gender Analysis that describes how the NGOs will incorporate vulnerable and underserved populations into project design ([Section 3B](#)).

Persons with Disabilities: PRM strongly encourages its partners to ensure that programs adhere to the [Guiding Principles](#) outlined by the Women's Refugee Commission, which include: a rights-based approach consistent with the UN Convention on the Rights of Persons with Disabilities.

**A.B.3. Accountability to Affected Populations (AAP):** The Bureau requires evidence of how partners are ensuring AAP in all proposal narratives ([Section 3.B.6](#)), monitoring and evaluation plans, and final reports. Additionally, prior to program award, an organizational accountability framework must be submitted that discusses collection and analysis techniques, and explains how beneficiary feedback will be used to change programming decisions where appropriate. We encourage partners to align their AAP frameworks with the IASC's Five Commitments to Accountability to Affected Populations, available [here](#). PRM will consider funding activities aimed at incorporating beneficiary feedback, as part of overall program budgets. Additional resources on accountability to affected populations can be found at the [Core Humanitarian Standard Alliance Frequently Asked Questions on AAP resource page](#).

**A.B.4. Conflict Sensitivity:** All PRM partner program activities must be conflict sensitive and must adopt at the very least a “do no harm” approach to avoid aggravating existing conflict dynamics. Further resources on how to adopt a “conflict-sensitive” approach to humanitarian assistance programming can be found [here](#).

**A.B.5. Coordination:** Proposals must demonstrate the extent to which an organization coordinates and cooperates with the national and local host government(s), UN agencies (especially UNHCR), other relevant international organizations (IO), other USG agencies, other donors, and other NGOs. Participation in existing sector and geographic coordination structures is strongly encouraged. Projects must target critical gaps identified and agreed upon through this coordination effort, which must be fully documented in the coordination section of proposal narratives.

**A.B.6. Code of Conduct:** In accordance with the Inter-Agency Standing Committee’s (IASC) Plan of Action to protect beneficiaries of humanitarian assistance from sexual exploitation and abuse (SEA), applicants must submit the organization’s Code of Conduct prior to an award being funded. PRM will require that codes of conduct, consistent with the [IASC’s six core principles](#), are signed and implemented within their organizations. The document should explain how the organization’s codes of conduct will be reflected in project implementation. PRM encourages applicants to attach a separate document or include a narrative with the organization's procedures for responding to allegations of sexual exploitation and abuse of beneficiaries by staff.

**A.B.7. Risk Management:** PRM requires applicants to include a risk analysis as a separate document in their program application package. The risk analysis should address any potential programmatic or administrative risks, including that of fraud and corruption, as well as assess the level of risk that the proposed program may inadvertently benefit terrorists or their supporters specific to the proposed project. As applicable, proposals must include plans to mitigate risk factors. A suggested format for a risk analysis document is found in [Appendix F](#). Furthermore, a summary of that risk analysis should be included as part of the proposal narrative when discussing security and risk management ([Section 3.B.10](#)).

**A.B.8. Safety and Security:** When implementing any PRM award, the implementing organization is responsible for ensuring that adequate

measures are taken for the security and safety of the organization's personnel, including local staff, and any PRM-funded property, equipment, and vehicles. Proposals should include a security plan and protocol that are designed specifically for the local operating environment based on a security assessment. A generic, organization-wide plan is not acceptable. PRM strongly recommends that organizations be aware of any relevant travel advisories issued by the State Department; ensure that all U.S. citizen employees register at the relevant U.S. embassy while working overseas; adhere to the UN's security guidelines in any given location; and use [InterAction's suggested guidance for implementing the Minimum Operating Security Standards \(MOSS\)](#). Security requirements should be included in the proposed budget. Failure to maintain adequate security precautions may result in suspension of PRM funding.

**A.B.9. Environmental Protection:** PRM considers environmental protection to be of paramount importance, and thus all PRM-funded projects should carefully consider the potential environmental impacts of program activities. Humanitarian practitioners should consider these impacts during the design phase of all projects, and adopt what they determine to be the most relevant mitigation techniques.

## APPENDIX C

### SECTORS AND STANDARDIZED INDICATORS

**A.C.1. Protection:** PRM pursues four broad protection goals: 1) to address or prevent violations of human rights and humanitarian principles; 2) to fill protection gaps in the overall humanitarian response to a crisis; 3) to strengthen and monitor standards, indicators, and institutional capacities for protection; and 4) to address protection challenges posed by diverse populations of concern. PRM seeks to address a range of protection threats to its populations of concern, including but not limited to: forced return; denial of humanitarian access; restrictions on freedom of movement; insecure humanitarian sites; militarization of humanitarian sites; gender-based violence; sexual exploitation and abuse; family separation; forced conscription; improper registration; lack of proper identity documents; unfair distribution of assistance; restricted access to girls' education; tensions with host communities; dangerous coping strategies; and forced evictions. PRM encourages NGO partners to reference and adopt the Inter-Agency Standing Committee's [Statement on the Centrality of Protection](#), as well as the IASC Protection Policy.

#### Standardized Protection Indicators:

Sector	Sub-Sector	Indicators
<b>Protection [Camp and Non-Camp]</b>	Protection	<ul style="list-style-type: none"> <li>• Number of beneficiaries who report feeling satisfied by security levels in and around the location disaggregated by age and gender.</li> <li>• Number and percentage of beneficiaries reporting protection violations who are referred to and receive assistance from appropriate legal, medical, or psychosocial support services, disaggregated by gender and age.</li> <li>• Number and percentage of staff trained in recognizing and responding to protection incidents and concerns.</li> <li>• Number and percentage of beneficiary population who have been issued individual identity documents, disaggregated by gender and age.</li> <li>• Number and percentage of reported cases of protection violations that are adjudicated by local legal systems with NGO partner assistance.</li> </ul>

Note: Key Protection Resources

- [The Sphere Handbook: Humanitarian Charter and Minimum Standards in Humanitarian Response](#), 2011 Edition
- [Practical Guide to the Systematic Use of Standards & Indicators in UNCHR Operations](#), 2006

- Protection: [An ALNAP guide for humanitarian agencies](#). ALNAP, 2005
- [Professional Standards for Protection Work](#). ICRC, 2013
- [Minimum Standards for Child Protection in Humanitarian Action](#). Child Protection Working Group, 2012
- [Minimum Agency Standards for Protection Mainstreaming](#). World Vision, CARE, Oxfam, Caritas, 2008
- (pg. 25, 160-169)

**A.C.2. Gender-Based Violence:** PRM’s goal is that women, girls, and survivors of GBV receive coordinated, high-quality services and their needs are addressed in a consistent and timely manner so that they can live free from violence and have access to equal opportunities. We strive to ensure all programs are accessible, safe, compassionate, coordinated, relevant, utilized, and survivor-centered. Based on years of funding GBV interventions around the world, PRM prioritizes service provision as a life-saving activity and entry point for survivors to receive comprehensive care. We also support prevention, empowerment, capacity building, coordination, and learning activities as part of our holistic approach.

Subject to parameters outlined in specific funding opportunity announcements, PRM considers the below to be essential, life-saving GBV activities and interventions:

- Response to the immediate and life-saving needs of at-risk women and girls, and survivors of GBV, through health, psychosocial, case management, and legal services;
- Community mobilization and behavior change activities that aim to address the social norms that perpetuate gender inequality and condone violence against women and girls;
- Public information and awareness campaigns that communicate details about service provision to specific audiences (see below about at-risk populations);
- Networking and group interventions that enable at-risk communities to come together and receive informal support from one another;
- Social or economic empowerment activities that are directly linked to reducing risk of violence and create opportunities for women and girls to develop their skills, gain income, participate in community events, and make decisions for themselves and their families;



- Local capacity building and training opportunities that focus on GBV preparedness in advance of potential emergencies or sustainability of GBV programs;
- Staff support or debriefing activities that recognize the importance of processing trauma and other stories that local staff, organizations, or beneficiaries may experience.

Other kinds of activities that PRM will support, includes:

- PRM will consider GBV proposals that include activities and costs for program evaluations that assess program effectiveness and impact;
- PRM will consider GBV proposals that include plans and costs for sub-cluster coordination in order to improve leadership for the sector.

PRM encourages partners to design activities that target hard to reach populations and the most vulnerable within any community. This includes: women and girl heads of households, out-of-school girls, women and girls who identify as LGBTI, women and girls with disabilities, women and girl survivor of violence, married girls, and adolescent mothers. These programs should aim to increase protective assets, social networks, and access to information and services that will enhance safety and reduce any immediate risks of GBV.

**\*At this time, PRM does not require partners to include standardized gender-based violence indicators but intends to provide suggested indicators in the future. Please refer to The Inter-Agency Standing Committee (IASC) [Guidelines on Gender-Based Violence Interventions in Humanitarian Settings](#) for recommended indicators.**

Note: Key Gender-Based Violence Monitoring Resources

- [Gender-Based Violence Information Management System Resources, UNFPA, UNHCR, IRC, 2010](#)
- [Guidelines on Gender-Based Violence Interventions in Humanitarian Settings, IASC, 2015](#)

**A.C.3. Child Protection:** Applicants working in child protection should ensure that the International Child Protection Working Group's [Minimum](#)

[Standards for Child Protection in Humanitarian Action](#) are reflected in their project proposals.

### Standardized Child Protection Indicators:

Sector	Sub-Sector	Indicators
<b>Protection [Camp and Non-Camp]</b>	Child Protection	<ul style="list-style-type: none"> <li>• Number and percentage of newborns issued a birth certificate.</li> <li>• Number and percentage of unaccompanied minors who are placed in long-term alternative care and are receiving individual case management support, disaggregated by gender and age.</li> <li>• Percentage of girls and boys separated from armed groups who are reintegrated in their families or alternative setting, disaggregated by gender and age.</li> <li>• Number and percentage of eligible beneficiaries using child-friendly spaces, disaggregated by gender and age.</li> <li>• Number of teachers, parents, and community leaders, and law enforcement officials with increased knowledge of protection needs and rights of children, the disabled, and other vulnerable groups.</li> <li>• Number and percentage of beneficiary children attending primary school/secondary school, disaggregated by gender and age group</li> <li>• Drop-out/absenteeism rate for beneficiary children enrolled in primary/ secondary school, disaggregated by gender and age group.</li> </ul>

Note: Key Child Protection Resources

- [The Sphere Handbook: Humanitarian Charter and Minimum Standards in Humanitarian Response](#), 2011 Edition
- [Practical Guide to the Systematic Use of Standards & Indicators in UNCHR Operations](#), 2006
- Protection: [An ALNAP guide for humanitarian agencies](#). ALNAP, 2005
- [Professional Standards for Protection Work](#). ICRC, 2013
- [Minimum Standards for Child Protection in Humanitarian Action](#). Child Protection Working Group, 2012
- [Minimum Agency Standards for Protection Mainstreaming](#). World Vision, CARE, Oxfam, Caritas, 2008
- (pg. 25, 160-169)

**A.C.4. Public Health:** Public Health programming is intended to address major causes of morbidity and mortality. Public health programming is related to mental health and psychosocial support (MHPSS), Water, Sanitation and Hygiene (WASH), nutrition, and services for survivors of gender-based violence (GBV).

To avoid establishing parallel, refugee-specific systems, health strategies should use national treatment and prevention protocols where possible, and to adhere to international standards where host government capacity is limited. Wherever feasible, interventions should be coordinated with the Ministry of Health (MoH) and other relevant partners. Any health infrastructure built with PRM funding must conform to national MoH guidelines. In refugee reintegration settings, PRM-funded NGOs providing health services should obtain a signed Memorandum of Understanding (MoU) with local or national MoH officials. The MoU should acknowledge the NGO's presence and work, and should include a plan that details the process and timeline for eventual handover of health services to the MoH and other relevant actors, including if/when health staff currently being paid by the NGO will be added to MoH payrolls. Proposals for reproductive health interventions should adhere to the [Interagency Field Manual on Reproductive Health in Humanitarian Settings](#), inclusive of tailored messaging and services to meet the reproductive health needs of adolescents and youth and use the [Minimum Initial Service Package](#) (MISP) in emergency settings.

NGO partners implementing tuberculosis (TB) programs with refugee populations are advised to use the Centers for Disease Control and Prevention's TB [Monitoring and Evaluation toolkit](#) at least once per fiscal year in order to evaluate and improve program quality.

#### Standardized Health Indicators:

Sector	Sub-Sector	Indicators
<b>Health</b>	Camp	<ul style="list-style-type: none"> <li>• Number of consultations/clinician/day (Target: Fewer than 50 patients per clinician per day).</li> <li>• Measles vaccination rate for children under five (Target: 95% coverage).</li> <li>• Percentage of deliveries attended by a skilled birth attendant in a health care facility (Target: 100%).</li> <li>• Percentage of reporting rape survivors given post-exposure prophylaxis (PEP) within 72 hours (Target: 100%).</li> <li>• Percentage of eligible rape survivors given emergency contraception within 120 hours (Target 100%).</li> <li>• Primary Care: Number and percentage of beneficiary patients, by sex and age, receiving primary health care assistance.</li> <li>• Emergency Care: Number and percentage of beneficiary patients, by sex and age, receiving care for trauma or sudden illness.</li> </ul>

	Non-Camp	<ul style="list-style-type: none"> <li>• Capacity-building: Number of health care professionals/administrators trained on providing health services to beneficiary populations.</li> <li>• Number of health care professionals trained on providing adolescent- and youth-friendly services.</li> <li>• Referrals: Number of beneficiaries referred to appropriate services, and percentage of those referred who were able to get needed services.</li> <li>• Community Outreach: Number of beneficiaries who received targeted messages on their rights and health-related services available to them.</li> <li>• Health Staffing: Number of total consultations per health care provider, disaggregated by refugee/national, sex, and age.</li> <li>• Patient Satisfaction: Percentage of beneficiary patients receiving primary and emergency care who express satisfaction with services received.</li> <li>• Post Exposure Prophylaxis: Percentage of reporting beneficiary rape survivors given PEP within 72 hours (Target: 100%).</li> <li>• Primary Care: Number and percentage of beneficiary patients, by sex and age, receiving primary health care assistance.</li> <li>• Emergency Care: Number and percentage of beneficiary patients, by sex and age, receiving care for trauma or sudden illness.</li> </ul>
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Note: Projects with a health and/or nutrition component are strongly encouraged to measure the Crude Mortality Rate (CMR) for the population and Global Acute Malnutrition (GAM) in children under age five – two core indicators of the impact of humanitarian assistance. PRM requires that, in addition to required program reports, partners share survey data on CMR and GAM with the UNHCR Public Health and HIV Section, including through the UNHCR's Health Information System (HIS) where available, and with the Centre for Research on the Epidemiology of Disasters (CRED) for inclusion in the online Complex Emergencies Database (CE-DAT) by emailing it to [contact@cedat.be](mailto:contact@cedat.be).

**A.C.5. Mental Health and Psychosocial Support (MHPSS):** The composite term mental health and psychosocial support describes any type of local or outside support that aims to protect or promote psychosocial well-being and/or prevent or treat mental disorder. MHPSS is cross-cutting. Proposals should focus on the MHPSS needs of populations at greatest risk and emphasize the participation of beneficiaries. Stand-alone programs should be avoided, and programs should be integrated whenever possible into wider systems such as primary health care systems and existing community support mechanisms. Applicants should refer to [the Inter-Agency Standing Committee Guidelines on Mental Health and Psychosocial](#)

[Support in Emergency Settings](#), WHO's mhGAP Intervention Guide, and the WHO/UNHCR mhGAP Humanitarian Intervention Guide for best practices.

### Standardized Mental Health and Psychosocial Support Indicators

Sector	Indicators (with standards, if applicable, and levels of disaggregation required)
<b>Mental Health and Psychosocial Support [Camp and Non-Camp]</b>	<ul style="list-style-type: none"> <li>• Percent change in the level of awareness of personal and community issues regarding pro-social behavior, cognitive/emotional functioning, coping and self-esteem, self-efficacy, and agency</li> <li>• Percent change in the proportion of local authorities, NGOs, communities, and community leaders aware of protection principles, rights and risks faced by affected group</li> <li>• Number and percent of patients receiving psychological first aid.</li> <li>• Number and percentage of teachers trained in and receiving follow-up support on how to support learners' psychosocial well-being.</li> </ul>

Note: Key MHPSS Resources

- [Reflections on Identifying Objectives and Indicators for Psychosocial Programming, The Psychosocial Working Group, 2005](#)
- [The Inter-Agency Standing Committee Guidelines on Mental Health and Psychosocial Support \(MHPSS\) in Emergency Settings, 2007](#)

**A.C.6. Water, Sanitation, and Hygiene (WASH):** WASH programs should use Sphere minimum standards, with an overall goal of preventing mortality and morbidity among populations of concern. For all water interventions, NGOs must provide information about water quality testing procedures, including the timing of testing as appropriate during rainy seasons. PRM will not typically fund water points that require maintenance parts not available on the local market. The exception to this is when NGOs can provide compelling justification for using such infrastructure in emergency situations or if the NGO can demonstrate that they can establish a supply chain for parts not currently available in the local market. Hygiene programs should ensure beneficiaries receive the Sphere minimum standard of soap for bathing and for laundry (as opposed to washing hands with ash, for example), as well as other considerations for managing menstrual hygiene. All WASH interventions should minimize the impact on the local environment.

### Standardized WASH Indicators:

Sector	Sub-Sector	Indicators
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<b>Water, Sanitation, and Hygiene (WASH)</b>	Camp	<ul style="list-style-type: none"> <li>• Number and percentage of beneficiaries receiving at least 15 liters of water per person per day.</li> <li>• Number and percentage of beneficiary households located within 200m of a water point.</li> <li>• Average number of people per usable water tap/hand pump.</li> <li>• Number and percentage of beneficiaries who report washing their hands after using toilets and before food preparation, disaggregated by gender and age.</li> <li>• Average number of people per communal latrine.</li> <li>• Fecal coliforms per 100ml of water at the point of delivery/Fecal coliforms per 100ml of water at point of use.</li> </ul>
	Non-camp	<ul style="list-style-type: none"> <li>• Number and percentage of beneficiaries accessing at least 15 liters of water per person per day, disaggregated by gender and age.</li> <li>• Number and percentage of beneficiary households located within 200m of a water point.</li> <li>• Number and percentage of beneficiary population with access to a toilet or latrine &lt; 50m from dwelling, disaggregated by gender.</li> <li>• Number and percentage of beneficiaries who report washing their hands after using toilets and before food preparation, disaggregated by gender and age.</li> </ul>

Note: Key WASH Resources

- [Water, Sanitation, and Hygiene Guidelines](#). Mercy Corps. 2008-2009.
- [The Sphere Handbook: Humanitarian Charter and Minimum Standards in Humanitarian Response](#), 2011 Edition
- [Practical Guide to the Systematic Use of Standards & Indicators in UNCHR Operations](#), 2006
- (pg. 25, 160-169)

**A.C.7. Nutrition and Food Security:** Food security and nutrition interventions seek to improve the nutritional well-being of populations of concern by tackling the immediate and underlying causes of malnutrition. This can include provision of food, cash, and/or vouchers, special nutritional products for vulnerable groups, the promotion of and support for adequate infant and young child feeding and care practices, treatment of acute malnutrition, and collecting, analyzing, and interpreting food security/nutrition data to inform programming.

**Standardized Nutrition and Food Security Indicators:**

Sector	Sub-Sector	Indicators
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<b>Nutrition &amp; Food Security</b>	Camp	<ul style="list-style-type: none"> <li>• Number and percentage of infants 0-6 months who are exclusively breastfed</li> <li>• Number and percentage of children under 5 years diagnosed with anemia, disaggregated by gender.</li> <li>• Number and percentage of women of reproductive age (15-49 years) diagnosed with anemia.</li> <li>• Percentage of discharges from supplementary feeding programs who have died, recovered, and defaulted.</li> <li>• Percentage of discharges from therapeutic feeding programs who have died, recovered, and defaulted.</li> </ul>
	Non-camp	<ul style="list-style-type: none"> <li>• Number and percentage of beneficiaries who receive some form of food assistance (cash, vouchers, food commodities), disaggregated by gender and age.</li> <li>• Number and percentage of infants 0-&lt;6 months who are exclusively breastfed.</li> <li>• Number of households in which a member reports skipping meals due to food scarcity, disaggregated by gender and age.</li> <li>• Number and percentage of beneficiaries who report borrowing food or money for food from family or friends.</li> <li>• Average percentage of beneficiary household income spent on food, disaggregated by season and type of food assistance received (if applicable). Note: Results should indicate whether beneficiaries are receiving in kind food assistance, cash assistance, and/or vouchers.</li> </ul>

Note: Key Nutrition and Food Security Resources

- [Water, Sanitation, and Hygiene Guidelines](#). Mercy Corps. 2008-2009
- [The Sphere Handbook: Humanitarian Charter and Minimum Standards in Humanitarian Response](#), 2011 Edition
- [Practical Guide to the Systematic Use of Standards & Indicators in UNCHR Operations](#), 2006
- [UNHCR Standardized Expanded Nutrition Survey for Refugee Populations](#)
- [Guide to Measuring Household Food Security](#). U.S. Department of Agriculture, Food and Nutrition Service, 2000
- (pg. 25, 160-169)

**A.C.8. Education:** The Inter-Agency Network for Education in Emergencies Minimum Standards Handbook is available [here](#). Programs should seek, wherever possible, to support refugee children through existing public education systems. Where mainstreaming is not possible, curricula for stand-alone programs should be designed to comply with national curriculum standards issued by the national Ministry of Education (MoE) Subject to parameters outlined in specific Notice of Funding Opportunity (NOFO) announcements, PRM considers activities that fall under the education sector to include:



- Programming that facilitates mainstreaming into local schools including supporting teacher salaries and/or supplies in those schools, school fees, transportation costs or other related fees in order to facilitate access to local schools.
- Any schools built with PRM funding must conform to applicable national MoE guidelines regarding school infrastructure, and should comply with host country or regional standards for accessibility in construction.

In refugee reintegration settings, PRM-funded NGOs providing education should obtain a signed Memorandum of Understanding (MoU) with local or national MoE officials. The MoU should acknowledge the NGO's presence and work, and should include a plan that details the process and timeline for eventual handover of educational services to the MoE, including if/when teachers currently paid by the NGO will be added to MoE payrolls. PRM considers activities that fall under the education sector to include those designed to improve girls' and boys' equitable access and enrollment in early childhood education, primary education, and secondary education. Activities may be delivered in formal or non-formal settings, and should be accessible to and inclusive of children with different types of disabilities. See the [INEE Pocket Guide to Inclusive Education](#).

### Standardized Education Indicators

Sector	Indicators (with standards, if applicable, and levels of disaggregation required)
<b>Education</b>	<ul style="list-style-type: none"> <li>• Number and percentage of students enrolled in schools/learning spaces (disaggregated by gender and age groups 5–13 and 14–18)</li> <li>• Number and percentage of students that drop out of school/learning spaces (disaggregated by gender and age groups)</li> <li>• Number and percentage of schools/learning spaces with referral systems to mental health, psychosocial and social services</li> <li>• Number and percentage of persons who participate in education community-based committees (disaggregated by gender)</li> <li>• Number and percentage of schools/learning spaces providing students with course completion documents that are recognized or accepted by the education authorities of their country</li> </ul>

Note: Key Education Resources

- [The Joint Education Needs Assessment Toolkit, The Global Education Cluster, 2010](#)
- [Guidelines for Integrating Gender-Based Violence Interventions in Humanitarian Action, IASC, 2015](#)



**A.C.9. Livelihoods:** PRM defines livelihoods activities as those that allow people to acquire and access the capabilities, knowledge, goods, and assets necessary for survival, safely and with dignity. PRM will prioritize impact-driven, market-based projects that seek to improve the economic well-being of beneficiaries. Wherever possible, projects should seek to restore or build upon former livelihoods of affected populations. Projects may include, but are not limited to:

- Job placement or referral services;
- Income-generating activities;
- Temporary work programs/cash for work;
- Micro-finance;
- Financial literacy training and services,
- Agriculture, livestock activities;
- Vocational training.

In addition, applicants for PRM funding should note the following guidance:

- NGOs must include a recent market analysis in the proposal. Market analyses should be gender-sensitive. The proposal narratives should explain clearly how the market analysis informed the program design.
- NGOs must themselves have conducted a livelihoods capacity/competency assessment to evaluate existing skills and knowledge of beneficiaries and include the findings in the proposal.
- Proposal narratives should also provide an overview of the broader context in which the livelihoods activities will take place, including any legal or policy obstacles to formal employment, a description of relevant migration patterns of current or potential future beneficiary populations, and a socio-political analysis (with respect to land ownership, markets, politics, ethnicity, gender, social structures and networks, religion, etc.).
- Proposals must describe how the project will engage women and/or other vulnerable groups in the design and implementation of the project, and how it will consider specific needs of female participants.
- Project proposals should demonstrate consideration of the relevant standards and indicators outlined in the [Minimum Economic Recovery Standards](#), which have been accepted as a companion to the Sphere standards.

Additional resources such as The Women's Refugee Commission [Building Livelihoods Manual](#); [Emergency Market Mapping and Analysis Toolkit](#);

and [Market Development in Crisis-Affected Environments: Emerging Lessons for Achieving Pro-Poor Economic Reconstruction](#) may be useful.

### Standardized Livelihoods Indicators:

Sector	Sub-Sector	Indicators
<b>Livelihoods</b>	Camp	<ul style="list-style-type: none"> <li>Number and percentage of targeted beneficiaries that have maintained their agricultural production since the beginning of the project.</li> <li>Number and percentage of targeted beneficiaries that have increased their agricultural production since the beginning of the project.</li> <li>Average value in USD of animals owned by targeted households.</li> </ul>
	Non-Camp	<ul style="list-style-type: none"> <li>Number and percentage of beneficiaries who gained wage employment as a result of PRM assistance.</li> <li>Number and percentage of beneficiaries who remain wage employed for more than 6 (or, for multi-year programs, 12) months.</li> <li>The percentage of sampled non-camp program beneficiaries who: <ul style="list-style-type: none"> <li>Are able to describe accurately the procedures for receiving permits to conduct business.</li> <li>Apply for and receive for business permits.</li> </ul> </li> <li>Number of program participants with businesses registered, where relevant.</li> </ul>
	Both	<ul style="list-style-type: none"> <li>Number and percentage of program participants, disaggregated by gender and population (refugee, national) who self-report increased income by end of project period as compared to the pre-project baseline assessment.</li> <li>Number and percentage of program participants, disaggregated by gender and population (refugee, national) who self-report increased household savings by end of project period as compared to the pre-project baseline assessment.</li> <li>Number and percentage of beneficiaries who started their own businesses</li> <li>Number and percentage of beneficiaries with own business/self-employed for more than 6 (or, for multi-year programs, 12) months</li> <li>Number and percentage of enterprises, including farmers, receiving business development or financial services from PRM assistance.</li> <li>Number and percentage of beneficiaries using skills obtained in a vocational training for income generation within six months of completion of training.</li> <li>Number of private sector business partnerships created.</li> </ul>

Note: Key Livelihoods Resources

- Minimum Economic Recovery Standards
- UNHCR Minimum Livelihoods Criteria

**A.C.10. Shelter:** PRM-funded shelter programs should strive to: 1) Enable beneficiaries to access and live in dignity in secure, habitable, and appropriate shelters that allow them to resume critical social and livelihoods

activities and improve their quality of life; and 2) enable beneficiaries to access shelter solutions that provide privacy, security and protection from the elements, dignity, and a space to live and store belongings in a dignified manner. Additional resources, such as UNHCR’s [Global Strategy for Shelter and Settlements 2014-2018](#), [Accessing Services in the City: The Significance of Urban Refugee-Host Relations in Cameroon, Indonesia and Pakistan](#) (Church World Service), and [A Handy Guide to UNHCR Emergency Standards and Indicators](#), may also be useful. Official U.S. government definitions for activities related to the sectors of **Food, Health, Nutrition, Protection, Shelter and Infrastructure, Water and Sanitation, and Livelihoods** can also be found at the “[Foreign Assistance Standardized Program Structure and Definitions](#)” developed by the Office of the Director of U.S. Foreign Assistance.

#### Standardized Shelter Indicators:

Sector	Sub-Sector	Indicators
<b>Shelter and Settlements</b>	Camp	<ul style="list-style-type: none"> <li>• Number and percentage of total affected population in the program area receiving shelter assistance in camps, disaggregated by gender</li> <li>• Number and percentage of shelter recipients who meet vulnerability criteria.</li> <li>• Number and percentage of households meeting SPHERE standard of 3.5m-squared of space per person.</li> <li>• Number and percentage of sampled beneficiary households free of visible health and safety hazards, e.g. no visible bare wiring, no visible mold, no detectable dangerous odors, no cracked windows, and no glaring structural vulnerabilities.</li> <li>• Number and percentage of beneficiary shelters that shield against rain and/or snow.</li> </ul>
	Non-camp	<ul style="list-style-type: none"> <li>• Number and percentage of beneficiary population in the program area receiving shelter assistance (e.g. cash, rehabilitation, etc.), by gender.</li> <li>• Number and percentage of shelter assistance recipients who meet vulnerability criteria.</li> <li>• Number and percentage of beneficiary households with roofing that shields against rain and/or snow.</li> <li>• Number and percentage of beneficiaries involved in landlord disputes who report knowing where and how to receive legal assistance for housing disputes.</li> <li>• Number and percentage of beneficiaries in landlord disputes who received legal or financial assistance from NGO and were able to remain in their shelters.</li> <li>• Number and percentage of households receiving shelter assistance where the household is free of visible health and safety hazards, e.g. no visible bare wiring, no visible mold, no detectable dangerous odors, no cracked windows, and no glaring structural vulnerabilities.</li> <li>• Number of households receiving structural upgrades to reduce local hazards which could include earthquake,</li> </ul>

		floods, high winds and/or freezing temperatures. <ul style="list-style-type: none"> <li>• Number and percentage of households expressing interest in shelter assistance who are provided shelter assistance.</li> </ul>
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Note: Key Shelter Resources

- [Urban Shelter Guidelines](#), Norwegian Refugee Council/Shelter Centre, 2010
- [The Sphere Handbook: Humanitarian Charter and Minimum Standards in Humanitarian Response](#), 2011 Edition
- [Practical Guide to the Systematic Use of Standards & Indicators in UNCHR Operations](#), 2006
- (pg. 25, 160-169)

**A.C.11. Other Standardized Indicators:** PRM generally supports response efforts that include the provision of multi-purpose cash assistance and non-food items. These types of activities do not easily fall under the sectors above, but can be included as part of larger programs.

**Standardized Core Relief Items (Non-Food Items or NFI) Indicators:**

Sector	Indicators
<b>Core Relief Items</b> <b>[Camp and Non-Camp]</b>	<ul style="list-style-type: none"> <li>• Number and percentage of refugee households with access to: (1) communal cooking facilities or (2) a safe cook stove.</li> <li>• Number and percentage of refugee households with access to household lighting, in the form of electric/solar lights, lanterns, or candles.</li> <li>• Number and percentage of beneficiaries with access to 250g of soap per person per month, disaggregated by gender and age.</li> <li>• Number and percentage of beneficiaries with access to 200g of laundry soap per person per month, disaggregated by gender and age.</li> <li>• Number and percentage of women and girls with sanitary materials.</li> <li>• Number and percentage of parents who report having at least 12 washable diapers for children up to two years of age.</li> <li>• Number and percentage of beneficiary households with a kitchen set including eating utensils.</li> <li>• Number and percentage of beneficiary households with one 10-20 liter water container for storage and one 10-20 liter water container for transportation.</li> <li>• Number and percentage of beneficiaries who have at least one full set of clothing</li> </ul>

	<p>in the correct size, appropriate to the culture, season and climate.</p> <ul style="list-style-type: none"> <li>• Number and percentage of beneficiaries with access to blankets, bedding and sleeping mats.</li> <li>• If relevant, number and percentage of households with at least one mosquito net that is free of holes.</li> </ul>
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Note: Key Core Relief Items Resources

- The Sphere Handbook: Humanitarian Charter and Minimum Standards in Humanitarian Response, 2011 Edition

### Standardized Local Government Capacity-Building Indicators

Sector	Indicators (with standards, if applicable, and levels of disaggregation required)
<b>Local Government Capacity-Building</b>	<ul style="list-style-type: none"> <li>• Number and percentage of individuals receiving services from local government entities supported by PRM who report improved satisfaction, compared with baseline, with services received from those entities, disaggregated by sex, government entity, and location in which services were sought</li> <li>• Number of government authorities trained in budgeting and/or planning functions, disaggregated by sex, government entity, and level of governance (sub-departmental, departmental, national)</li> <li>• Percentage of individuals who improve their knowledge/skills of budgeting and/or planning, compared with baseline, disaggregated by sex, government entity, and level of governance (sub-departmental, departmental, national)</li> <li>• Number of government authorities trained in their country's laws and/or policies, disaggregated by sex, government entity, and level of governance (sub-departmental, departmental, national)</li> <li>• Number of government authorities trained in international law, international human rights law, and/or international humanitarian law, disaggregated by sex, government entity, and level of governance (sub-departmental, departmental, national)</li> <li>• Percentage of individuals who improve their knowledge/skills of their country's laws and/or policies, compared with baseline, disaggregated by sex, government entity, and level of governance (sub-departmental, departmental, national)</li> <li>• Number of inter-institutional coordination mechanisms targeted for improvement through training of government officials</li> </ul>

Note: Key Local Government Capacity-Building Resource

- Evaluation of the Effectiveness of PRM-Supported Programs to Build the Capacity of Colombian Municipal Authorities to Assist Internally Displaced Persons, Proposed Indicators for PRM-Supported Local Capacity-Building Programs, 2016

## **APPENDIX D**

### **BUDGET DETAIL INSTRUCTIONS**

The following provides guidance for the preparation of a proposal's budget detail using PRM's recommended budget template.

The budget detail template includes columns reflecting the Bureau's federal funding, other (non-federal) cost-share funding, as well as the total funding need broken down by objective. The Bureau anticipates that an organization will include each of the budget categories listed below when preparing an estimate of expenses for carrying out a proposed project whether the project is 100% funded or jointly funded with multiple donors.

**The use of the PRM budget detail template is highly recommended and estimates should be rounded to the nearest dollar.** (Note: Information included in the budget detail should correspond to and be overviewed in the budget summary and be explained in greater detail in the budget narrative.)

Applicants whose proposals address gender-based violence (GBV) through their projects must estimate the total cost of these activities as a separate line item in their proposed budgets. PRM understands that this is only an estimate. PRM's budget template document contains a line reflecting this requirement.

For multi-year proposals, a separate budget summary, detail, and narrative must be submitted for each year. The same budget template can be used for each year.

To request copies of the PRM-recommended budget template please send an email, with only the phrase "PRM NGO Templates" (without the quotation marks) in the subject line, to PRM's NGO Coordinator ([PRMNGOCoordinator@state.gov](mailto:PRMNGOCoordinator@state.gov)).

#### **REQUIRED BUDGET CATEGORIES:**

##### **PERSONNEL:**

This category includes annual salaries/wages, stipends, consultant fees, allowances, differentials, bonuses or extra month's salary and

any anticipated termination/severance pay for any personnel to be charged to the proposed agreement.

All positions listed should indicate the amount of time (expressed as a percent), the rate of pay, and the associated unit measurement (hour/month/year) anticipated to fulfill project implementation. For consultants, the proposed daily rate to be paid as compensation and the number of consultant days that are anticipated to be paid, must be shown.

The Bureau will not authorize personnel positions to be charged based on a flat monthly fee that includes salaries, benefits, travel costs, etc.

If your organization anticipates the payment of employee termination and/or severance pay during the proposed funding period, the Bureau will consider such costs an allowable charge to the agreement to the extent of the Bureau's responsibility in accordance with each employee's direct relation to the Bureau's funded activities. For example, an employee charged to Bureau activities for one-half of their employment with the organization shall have only one half of their termination or severance costs charged to the agreement.

Other types of allowances such as housing and education or differentials must be shown separately and identified against the position to be charged. They should be based on established policies and should be made available to all employees of the organization in similar situations or positions, not just to employees funded by the U.S. government. The Bureau's policy is to limit the payment of allowances to amounts which do not exceed the rates approved for government employees in similar situations.

#### **FRINGE BENEFITS:**

This category should identify the various fringe benefits offered to employees for which the Bureau will be charged under the agreement. While the cost of individual benefits need not be specified, the total cost, including the percentage of salaries, if appropriate, should be shown. The benefits must be consistent with the organization's established personnel policies and practices for all of its employees, not just for those employees who may be funded by the government.

**TRAVEL:**

List travel for all employees and consultants. Travel must be identified as U.S. domestic, in-country, or international. Indicate the per diem rate for each city of travel. All anticipated trips must be listed and are subject to Bureau approval. Any travel not included in the requested budget and not approved by the Bureau may not be charged to the agreement. In order to ensure costs are allowable within an award, recipients of PRM funding should request advance approval through their Bureau Program Officer for all travel not already fully detailed in the project budget. For example, if the project budget includes “international travel to attend a workshop,” the recipient must request separate permission once it is known that the travel will be for a UNHCR workshop in Kenya.

It is the Bureau's policy not to reimburse organizations for per diem allowances, both overseas and domestic, which exceed the rates approved for government employees. Current rates can be found [here](#).

**EQUIPMENT:**

This category must include a complete and detailed listing of all non-expendable equipment anticipated to be purchased for program activities and to be charged to the agreement. Non-expendable equipment is that which has: 1) a useful life of one year or more and an acquisition cost of \$5,000 or more per unit. However, consistent with the recipient's policy, lower limits may be used. The project budget must identify which of the above is followed and must be consistently applied to all U.S. government funding arrangements. PRM's Office of the Comptroller must be informed, in writing, of a recipient's policy and the threshold amount if less than \$5,000. Any equipment that may be determined, after the initial budget approval, to be required to meet the program objectives must be specifically approved by the Bureau in writing prior to the purchase. Equipment not included in the approved budget or subsequently approved by the Bureau will be considered an unallowable cost under the agreement.

List all equipment that will be leased, including vehicles. For each new vehicle to be purchased and charged to the agreement, please state the purpose for which it will be used and indicate whether the vehicle will be assigned to a motor pool or to an individual. Also, please list separately



any vehicle that may currently be owned or leased that is expected to be charged to the agreement. Bureau policy prohibits the use of project vehicles and drivers for personal use, which includes commuting between home and place of employment. Any non-direct program or unofficial use of a vehicle must be reimbursed at the appropriate government rate.

For organizations that have **not** previously received Bureau funding: Include a summary description of your property management procedures that are currently in place. This will be incorporated into the Bureau's funding arrangements with your organization.

**SUPPLIES:**

Show all tangible personal property by appropriate category (office supplies, classroom supplies, medical supplies, etc.) that may be purchased and charged under the agreement. The budget narrative should describe the types of items included in each of the categories and the proposed use.

**CONTRACTUAL:**

List all proposed sub-contracts or sub-recipients that are anticipated to carry out the proposed program, i.e., security guards, additional personnel, sub-agreements with an implementing partners etc. These agreements are subject to the regulations set forth in [2 CFR 200, Appendix II](#).

**CONSTRUCTION:**

Generally, the Bureau limits the use of Federal assistance awards to implement new construction projects and projects involving significant construction activities consistent with Department-wide policy. An applicant may, however, request consideration of minor construction related activities that consist of the renovation or rehabilitation of existing permanent structures with a sufficient description of the activities and/or related statements of work to be performed. The construction, renovation, or rehabilitation of temporary structures should be excluded from this section.

**OTHER:**

Any other direct cost not clearly covered herein. Examples are computer use, telephone (telex, fax, long distance international and local in-country costs **must** be listed separately), postage, space rental (list projected rental

items), audit fees, insurance, utilities, etc. Each item must be listed separately showing an estimated cost.

For guidance in determining allowable insurance costs, please refer to [2 CFR 200, Subpart D, Section 310 Insurance Coverage](#). The Bureau will no longer allow charges to its agreements for costs of insuring equipment purchased with project funds against loss or damage, except for unique or high expense items. The Bureau will allow charges for automobile liability and comprehensive insurance coverage.

### **INDIRECT COSTS:**

Show the amount of indirect costs and the base amount on which it is determined. It should be indicated whether the rate has been approved by a government cognizant agency and the type of rate (provisional, predetermined or fixed). A copy of the current Negotiated Indirect Cost Rate Agreement (NICRA) must be submitted for the recipient and sub-recipient(s), if applicable. In accordance with new guidance from the United States Office of Management and Budget (OMB), applicants with no NICRA may elect to charge a *de minimis* rate of 10% of modified total direct costs (MTDC) which may be used indefinitely ([2 CFR 200, Subpart E, Section 414 Indirect \(F&A\) Costs](#)). A *de minimis* rate calculation should be provided if the applicant elects to charge the *de minimis* rate.

## **APPENDIX E**

### **BUDGET NARRATIVE INSTRUCTIONS**

The purpose of the budget narrative is to explain the costs that PRM expects an organization to include in each budget category when preparing an estimate of expenses for carrying out a proposed project whether the project is 100% funded or jointly funded with multiple donors. The budget narrative should include the following:

#### **PERSONNEL:**

Identify each position and indicate its support of the project and/or sector(s). If not provided in the budget detail, indicate the numerical justification for the total cost.

For example, Director of Assistance Programs – This individual is responsible for the overall management of the project. He/she insures compliance with all the terms and conditions of the agreement including implementation, program and financial reporting.  
 $\$85,000/\text{year} \times 10\% \text{ of time} = \$8,500.$

Identify consultants, separately, from other permanent staff. If possible, include anticipated position title(s), the proposed daily rate to be paid as compensation, and the number of consultant days that are anticipated.

#### **FRINGE BENEFITS:**

If an established NICRA includes a rate for fringe benefits, please ensure that you utilize and/or adjust the rate appropriately.

If the fringe benefit rate is not included in the NICRA, please provide a copy of the company policy and/or rates (as a percentage) that are being charged per category of benefits.

#### **TRAVEL:**

All headquarters and/or project employees' travel must be identified via mode of travel, departure and arrival city, purpose, unit of measurement, and duration of trip. Please note that the movement of project participants and supplies is a separate transportation line item.

For example, 10 in-country trips via air transportation will be conducted to implement workshops and training sessions. Roundtrip airfare from Kinshasa to Goma for 5 employees is anticipated. Each trip will include 5 days of per diem per employee.

In-country Airfare – 10 trips x 5 employees x \$200 = \$10,000

Lodging - 10 trips x 5 employees x 5 days x \$161/day = \$40,250

Per diem - 10 trips x 5 employees x 5 days x \$57 = \$14,250

### **EQUIPMENT:**

Include a detailed listing of all non-expendable equipment anticipated to be purchased for program activities including justification.

Land Rover – Due to the challenging road conditions, inclement weather, terrain conditions, and geographical location(s) of project sites, it is deemed reasonable and necessary to purchase a new vehicle. Vehicle x 1 quantity = \$40,000.

### **SUPPLIES:**

General Office supplies include the following items: pens, pencils, notebooks, printer paper, ink cartridges, etc.

12 months x \$100/month x 3 project offices = \$3,600

Due to the opening of a new project office to support Sector “X” activities, project supplies include the following items: 2 laptop computers, 3 desktop computers, 2 printers, etc.

2 laptop computers x \$700 = \$1,400

3 desktop computers x \$1,200 = \$3,600

2 printers x \$400 = \$800

### **CONTRACTUAL:**

Detailed budgets should be included for sub-grantees.

ABC Organization will serve as a partner to assist with implementing sector “X” activities. \$75,000 detailed budget is attached.

XYZ Organization will provide security services via a contract. \$50,000 detailed budget is attached.

**OTHER:**

The following direct project expenses are related to the implementation of all sector activities and are proportionate based on actual use.

Rent of Office space in three locations - 12 months x 3 offices x \$400 = \$14,400

Utilities - 12 months x 3 offices x \$100 = \$3,600

Postage - 12 months x 3 offices x \$50 = \$1,800

Courier – 25 trips x 2 offices x \$25 = \$1,250

Communication (phone, fax, internet) = 12 months x 3 offices x \$200 = \$7,200

Transportation cost of medical supplies via ground freight =  
2 trips x \$3,000 = \$6,000

**INDIRECT COSTS:**

Show the amount of indirect costs and the base amount on which it is determined. A copy of the current Negotiated Indirect Cost Rate Agreement must be submitted for recipient and sub-recipient(s), if applicable. In accordance with new guidance from the United States Office of Management and Budget (OMB), applicants with no NICRA may elect to charge a *de minimis* rate of 10% of modified total direct costs (MTDC) which may be used indefinitely ([2 CFR 200, Subpart E, Section 414 Indirect \(F&A\) Costs](#)). A *de minimis* rate calculation should be provided if the applicant elects to charge the *de minimis* rate.

## APPENDIX F

### RISK ANALYSIS TEMPLATE

The purpose of the risk analysis is to identify the internal and external risks associated with the proposed project in the application, rate the likelihood of the risks, rate the potential impact of the risks on the project, and identify actions that could help mitigate the risks. A risk analysis should not be considered a one-time exercise or a static document. PRM defers to organizations to conduct adequate risk analysis and remediation for all of its operations and advises that risk analysis and remediation occur throughout the life of a project and should result in revisions to risk analysis documents and processes as necessary.

A suggested format for a risk analysis document is below. Applicants should include all assumptions and external factors identified in the logic model in the risk analysis. Under “Description of Risk,” the risk analysis should address any risk of fraud and corruption, as well as assess the level of risk that the proposed program may inadvertently benefit terrorists or their supporters. Under “Likelihood of Risk” and “Potential Impact of Risk,” applicants should rate the as “High,” “Medium,” or “Low.” Additional lines can be included in the risk analysis table as necessary.

The safety and security of recipients and beneficiaries are of utmost importance. PRM requires all recipients to conduct thorough risk assessments and take all actions necessary in accordance with those assessments to mitigate those risks. PRM does not take responsibility for the risks incurred by any recipient.

	Description of Risk	Likelihood of Risk	Potential Impact of Risk	Risk Mitigation Plans/Actions
Risks Affecting realization of Project Objectives				
Risks affecting realization of Project Outcomes/Outputs				
Risks affecting Organization				
Risks affecting Safety and Security of Personnel				